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Express Mail No. EV 373446242 US

Deposited on: 11/19/2004

PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/729,080
	Filing Date	12/05/2003
	First Named Inventor	William D. Hawk
	Group Art Unit	3763
	Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	Attorney Docket Number	3397.002

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  See remarks below:
<b>Remarks</b> 1. Transmittal Form (1 page); 2. Fee Transmittal (1 page); 3. Information Disclosure Statement (3 pages); 4. Information Disclosure Statement by Applicant (formerly Form 1449) (1 page); 5. Cited Material; and 6. Postcard.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	DUNLAP, CODDING & ROGERS, P.C., Customer Number 30589 Attn: Kathryn L. Hester, Ph.D., P. O. Box 16370, Oklahoma City, Oklahoma 73113
Signature	
Date	11-19-04

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express mail no. EV 373446242 US in an envelope addressed to the address below on this date: 11/19/2004	
Typed or printed name	Kathryn L. Hester, Ph.D., Reg. No. 46,768
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

<div style="display: flex; align-items: center;"> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center; margin-right: 10px;">             RECEIVED              NOV 19 2004              USPTO           </div> <div> <h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2005</h2> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision.</p> </div> </div>		<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center; margin: 0;"><i>Complete if Known</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%;">Application Number</td> <td>10/729.080</td> </tr> <tr> <td>Filing Date</td> <td>12/05/2003</td> </tr> <tr> <td>First Named Inventor</td> <td>William D. Hawk</td> </tr> <tr> <td>Examiner Name</td> <td>Not Yet Assigned</td> </tr> <tr> <td>Art Unit</td> <td>3763</td> </tr> <tr> <td>Attorney Docket No.</td> <td>3397.002</td> </tr> </table> </div>		Application Number	10/729.080	Filing Date	12/05/2003	First Named Inventor	William D. Hawk	Examiner Name	Not Yet Assigned	Art Unit	3763	Attorney Docket No.	3397.002
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<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27															
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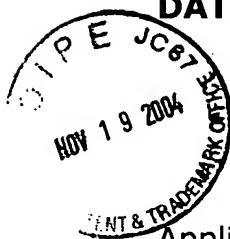
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<b>SUBMITTED BY</b>				<i>(Complete if applicable)</i>	
<b>Name (Print/Type)</b>	Kathryn L. Hester, Ph.D.	<b>Registration No. (Attorney/Agent)</b>	46,768	<b>Telephone</b> (405) 607-8600	
<b>Signature</b>				<b>Date</b>	11/19/2004

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**DATE DEPOSITED: NOVEMBER 19, 2004**

**PATENT**



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: William D. Hawk ) Atty. Dkt. No. 3397.002  
Serial No.: 10/729,080 )  
Filed: December 5, 2003 )

For: ENDOTRACHEAL TUBE ASSEMBLY AND METHODS OF USING SAME

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Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

**List Of Sections Forming Part Of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ Form PTO/SB/08A And 08B (formerly Form PTO-1449)
3. ☒ Copies Of Listed Information Items Accompanying This Statement
4. ☒ Identification Of Person(s) Making This Information Disclosure Statement

## **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO/SB/08A And 08B (Modified)**

☒ [X] A completed Form PTO/SB/08A and/or 08B is attached hereto.

☐ [ ] No Form PTO/SB/08A and/or 08B is attached.

## **Section 3. Copies Of Listed Information Items Accompanying This Statement**

Legible copies of all items listed in Form PTO/SB/08A And 08B (Modified) accompany this information disclosure statement.

## **Section 4. Identification Of Person(s) Making This Information Disclosure Statement**

The person making this statement is the attorney/agent who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney/agent's file

Respectfully submitted,

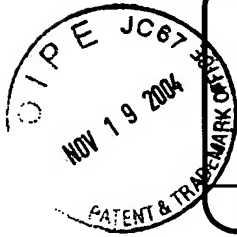


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Agent for Applicant

PTO/SB/08A (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**Complete if Known**

<b>Application Number</b>	10/729,080
<b>Filing Date</b>	12/05/2003
<b>First Named Inventor</b>	William D. Hawk
Group Art Unit	3763
Examiner Name	Not Yet Assigned
Attorney Docket Number	3397.002

Sheet	1	of	1
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[illegible][illegible]

Examiner Signature		Date Considered	
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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